

NORTHERN PLAINS AREA Policy Memorandum

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| DATE: | July 1, 2006 |
| SUBJECT: | ARS-115 and Posting Copies of Approved Manuscripts/Publications to Websites |
| NUMBER: | PM-06-001 |
| EFFECTIVE DATE: | July 1, 2006 (Replaces PM-06-001, issued November 21, 2005) |

1. Purpose

An ARS-115 *"Request to Submit Manuscript for Publication"* is required whenever an ARS employee wishes to publish any kind of publication. In addition, it is also required whenever an employee is to present a paper, talk, poster, etc., at any scientific meeting, specifically in which a publication such as an abstract and/or proceedings are to be published. Publications include CDROMs, video streaming, and official journal/publication websites.

2. Requirements for Submission of an ARS-115

- C All ARS-115's must be entered into ARIS, and line management approvals from all levels (CD/LD/RL, Area, NPS and/or OTT as applicable), must be obtained **prior** to submitting the publication to the journal and/or giving the presentation.
- C Publications listing CRADA Cooperators/Non-ARS Authors: The Unit/Location ARIS Operator is **not** authorized to release the ARS-115 to the next approval level until a copy of each CRADA Cooperator/Non-ARS Author clearance is provided. All clearance authorizations must be on file with the ARS-115 in the official Unit/Location files, and the ARS employee initiating the ARS-115 is responsible for obtaining CRADA Cooperator and/or Non-ARS Author clearance approvals from all authors, and ARS-533 Peer Review forms.

3. Use of websites for posting electronic copies of manuscripts/publications

- C Only peer reviewed or refereed journal articles that have been published are allowed to be posted to the ARS website.
- C Abstracts, Proceedings, newspaper articles, popular publication articles, Letters to the Editor, Book Chapters, etc., are **not** to be posted to any ARS website.
- C The URL block in the ARIS ARS-115 is to be used for the official journal/publication URL only.
 - The Reprint URL block in the ARIS ARS-115 "Reprint URL" field is used to post only peer reviewed/refereed journal article reprints. The Reprint URL is the ARS site where the reprint was entered via SitePublisher.

4. Delegation of Authority

- C Center/Lab Directors and Research Leaders without a Center/Lab Director continue to have the delegated authority for Location approval of their unit's publications. Included in the delegated authority is responsibility for approving authorship.
- C **EXCEPTION:** ARS-115's submitted under the "Dual Use Research" (DUR) code and/or marked Yes as a "High Profile Topic" will continue to be automatically forwarded to the Area

Office for review and approval and release to HQ.

- **Newspaper Articles:** Scientists invited to write articles for newspapers must contact the ARS Information Staff for assistance and guidance prior to submitting the invited article to the newspaper and entering the ARS-115 into ARIS. Send a copy of the Information Staff approved article to the Area Director's Office. Information Staff Contact: Ms. Sandy Miller-Hays, Director, smhays@ars.usda.gov; Phone: 301-504-1638; Fax: 301-504-1648.

5. **Accountability**

- C The CD/LD/RL is responsible for verifying the CRADA Cooperator/Non-ARS Author clearance approvals, and/or ARS-533 Peer Review forms, have been received and are credible. All copies of the ARS-533 Peer Review forms for every peer-reviewed manuscript submission must be in the official ARS-115 file maintained by the Unit/Location.
- C The CD/LD/RL line management approvals are required before the ARS-115 can be released to the next level of review. CD/LD/RL signatures must be handwritten, or initialed, authorizing release of the ARS-115. The original signature ARS-115 printout must be maintained in the official ARS-115 file at the Research Unit/Location level.
- C The Submitter of the ARS-115 must be an active ARS Cat. 1 or 4 employee. The RL has the discretion to determine if s/he will be listed as the Submitter.
- C Post-docs may be listed as authors but cannot be listed as the Contact or Submitter. (This is an ARIS system requirement and cannot be modified).

6. **Purpose of the Non-ARS author clearance**

- C Indicates approval by all CRADA Cooperators and/or Non-ARS authors that the Interpretive Summary, Technical Abstract and Affiliation may be released to the public. It is not a request to give ARS permission to publish.
- C Verbal authorizations are **not** acceptable.
- C Checking the "Hold from Tektran" block does **not** release ARS employees from obtaining CRADA Cooperator/Non-ARS Author clearance approvals.

If the publication supports CRADA research:

- The CRADA number must be identified.
- The CRADA Cooperator must review the publication and provide written clearance of their review. An e-mail is acceptable.
- C A copy of the CRADA Cooperator clearance authorization must be sent to the NPA Technology Transfer Coordinator. bryan.kaphammer@ars.usda.gov; 970-492-7028.

7. **Patent Applications:**

- ARS-115 documents coded as Z (Patent Application); C (PCT Application); or Y (Provisional Application), must meet the following criteria prior to entering the information into ARIS:
 - Scientist must file the application with the Patent Committee, which requires an Invention/Disclosure entry in the Licenses/Inventions component of ARIS.

- Patent Committee must approve the application.
- Patent Advisor must file the application.
- Requires entering the Serial Number or Application number for the ARS-115 entry. The Serial Number/Application Number is generated by the Patent Office and can be obtained from the Technology Transfer Coordinator or Patent Advisor.

8. Date Submitted to Journal and Acceptance and Publication Dates

- C The ARS scientist is required to provide journal submission, acceptance and publication dates to the ARIS Operator as soon as each date is known. Entry of each of these dates into ARIS is critical to the process of transmitting publication information to the Tektran and the USDA, ARS main web site in a timely manner.
- C Date Submitted to Journal is a required entry. The ARS scientist must provide the date s/he is submitting the publication to the journal. (This is **not** the same as the date the ARS-115 is entered into ARIS).
- C The publication cannot be used in the annual ARS-421 Progress Report unless there is an approved *ARS-115 Manuscript Approval* for every publication, which does not occur until both the acceptance and publication date is entered and the Citation field is completed.

9. Compliance and Monitoring

- C Annual ARMPS reviews will include the review of ARS-115 files for randomly selected unit employees. Files will be audited for CRADA Cooperator/Non-ARS Author clearances and the appropriate use of websites.

10. Questions, Assistance, Guidance

- C Cooperator clearance for Non-ARS Authors, High Profile Topics, or Dual Use Research projects: Dr. Larry Chandler, Associate Area Director; larry.chandler@ars.usda.gov; 970-492-7058; or Dr. Michael McGuire, Assistant Area Director; 970-492-7058; Michael.mcguire@ars.usda.gov
- C CRADA Cooperator notifications/clearances and CRADA related research, Patents and Inventions: Dr. Bryan Kaphammer, NPA Technology Transfer Coordinator. 970-492-7028; bryan.kaphammer@ars.usda.gov
- C ARIS data entry: Marcie Currie-Gross, Extramural Agreements Specialist. 970-492-7022; marcie.currie-gross@ars.usda.gov

/s/

W.H. Blackburn
Area Director
Northern Plains Area